

FORM PTO-1390  
(REV 10-94)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

00270.0078USWO

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)

Unknown 10/516753

INTERNATIONAL APPLICATION NO.

PCT/CA03/00822

INTERNATIONAL FILING DATE

06 June 2003

PRIORITY DATE CLAIMED

06 June 2002

TITLE OF INVENTION

REGULATION OF GENE EXPRESSION USING CHROMATIN REMODELLING FACTORS

APPLICANT(S) FOR DO/EO/US

HANNOUFA et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(I).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An unsigned oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.  
☐ A SECOND of SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Application Data Sheet (4 pages), Form 1449, 4 references, International Publication Page, Form PCT/ISA/210, Form PCT/ISA/220, Form PCT/IB/304, Form PCT/IB/308

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) <b>Unknown 10/516753</b>		INTERNATIONAL APPLICATION NO. PCT/CA03/00822		ATTORNEY'S DOCKET NUMBER 00270.0078USWO	
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17. <input checked="" type="checkbox"/> The following fees are submitted:				<b>CALCULATIONS</b> PTO USE ONLY		
<b>BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)):</b> Search Report has been prepared by the EPO or JPO..... <b>\$950.00</b>  International preliminary examination fee paid to USPTO (37 CFR 1.492(a)(1)) ..... <b>\$750.00</b>  No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... <b>\$790.00</b>  Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(3)) paid to USPTO..... <b>\$1100.00</b>  International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)..... <b>\$100.00</b>						
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>						
Surcharge of <b>\$130.00</b> for furnishing the oath or declaration later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(e)).						
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			
Total claims	42       -20 =	22	X \$18.00			
Independent claims	20       -3 =	17	X \$88.00	<b>\$1,496.00</b>		
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$300.00	<b>\$0</b>	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$2,824.00</b>		
Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27				<b>\$0</b>		
<b>SUBTOTAL =</b>				<b>\$2,842.00</b>		
Processing fee of <b>\$130.00</b> for furnishing the English translation later than [ ] 20 [ ] 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$0		
<b>TOTAL NATIONAL FEE =</b>				<b>\$2,842.00</b>		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+ \$0		
<b>TOTAL FEES ENCLOSED =</b>				<b>\$2,842.00</b>		
				<b>Amount to be: refunded</b>	<b>\$0</b>	
				<b>charged</b>	<b>\$0</b>	


a. ☒ Check(s) in the amount of \$2,842.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
overpayment to Deposit Account No. 13-2725.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:  
 Gregory A. Sebald  
 MERCHANT & GOULD  
 P.O. Box 2903  
 Minneapolis, MN 55402-0903

SIGNATURE: 

NAME: Gregory A. Sebald

REGISTRATION NUMBER: 33,280

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

10/516753

Applicant: HANNOU et al.

Rec'd PCT/PTO 03 DEC 2004

Docket: 00270.0078USWO

Title: REGULATION OF GENE EXPRESSION USING CHROMATIN REMODELLING FACTORS

## CERTIFICATE UNDER 37 CFR 1.10

'Express Mail' mailing label number: EV 495867620 US

Date of Deposit: December 3, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: 

Name: David Orr

Mail Stop PCT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

We are transmitting herewith the attached:


- ☒ Transmittal sheet, in duplicate, containing Certificate under 37 CFR 1.10.
- ☒ National Stage PCT Patent Application: Spec. 94 pgs; 42 claims; Abstract 0 pgs.  
The fee has been calculated as shown below in the 'Claims as Filed' table.
- ☒ 38 sheets of Sequence Listing
- ☒ 36 sheets of formal drawings
- ☒ An unsigned Combined Declaration and Power of Attorney
- ☒ A check in the amount of \$2842.00 to cover the Filing Fee
- ☒ Information Disclosure Statement, Form 1449, 4 reference(s).
- ☒ Application Data Sheet, 4 pages.
- ☒ Other: Form PTO-1390, Preliminary Amendment (15 pages), International Publication Page, Form PCT/ISA/210, Form PCT/ISA/220, Form PCT/IB/304, Form PCT/IB/308
- ☒ Return postcard

## CLAIMS AS FILED

Number of Claims Filed		In Excess of:		Number Extra		Rate		Fee
Basic Filing Fee								\$950.00
Total Claims								
42	-	20	=	22	x	18.00	=	\$396.00
Independent Claims								
20	-	3	=	17	x	88.00	=	\$1496.00
MULTIPLE DEPENDENT CLAIM FEE								\$0.00
TOTAL FILING FEE								\$2842.00

Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
P.O. Box 2903, Minneapolis, MN 55402-0903  
(612) 332-5300

By:   
Name: Gregory A. Sebold  
Reg. No.: 33,280  
Initials: GAS/sbd

23552

PATENT TRADEMARK OFFICE

(PTO TRANSMITTAL - NEW FILING)

10/516753

DT12 Rec'd PCT/PTO 03 DEC 2004

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## DOCKET NOTIFICATION SLIP

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### TO: PATENT DOCKETING

Applicant: HANNOUFA et al.  
Title: REGULATION OF GENE EXPRESSION USING CHROMATIN REMODELLING FACTORS  
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GAS/sbd NO FF